

### **District 5 – South Region Candidates**

- Don Chaney, Chief Compliance Officer, Stephens Inc.
- Sharon Dyer, Municipal Principal and Assistant FinOp, St. Bernard Financial Services, Inc.

## Candidate Profile Form—Regional Committee Election

Candidate Name: Don Chaney

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Title: Chief Compliance Officer

Firm: Stephens Inc.

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### Candidate Biography and Personal Statement

#### Biography:

Don Chaney is currently Senior Vice President/Chief Compliance Officer at Stephens Inc., where he has worked for nearly 22 years. He joined Stephens in 2001 as an Equity Research Associate covering power supply and semiconductor manufacturers for the Firm's Research Department. In 2002, he was promoted to Research Analyst with responsibility for covering larger cap analog semiconductor companies. He transferred to the Firm's Legal Department in 2004 and initially focused on regulatory issues within the Research Department. He became Compliance Counsel at the Firm in 2007 and was then promoted to his current position in August 2015. Prior to joining Stephens, he worked for nearly ten years as a business news reporter for the Arkansas Democrat-Gazette.

Don holds a J.D. from the William H. Bowen School of Law, where he graduated in 2003 with high honors. He graduated in 1990 from the University of Arkansas at Little Rock with a BA in English Literature and a minor in Writing. He also successfully completed the curriculum of the FINRA Institute at Wharton's Certified Regulatory and Compliance Professional (CRCP) Program in 2010.

#### Personal Statement:

As the CCO for a mid-sized, full-service, dually registered investment advisor/broker-dealer, my role touches on nearly every aspect of our industry, including retail investor services, institutional sales and trading, research, and corporate and municipal finance. I feel this provides me with a unique depth and breadth of understanding of the ever-changing and ever-growing regulatory challenges facing financial services firms of all sizes and business models. I hope to serve as the District 5 Representative for the South Region Committee because I believe in smart and effective regulation that's truly designed to protect investors, as well as encourage capital formation and efficient markets. It is imperative for industry representatives to have input on the growing regulatory landscape and its impact on both industry participants and investors and to provide meaningful guidance on how to shape rules and regulations in a manner to avoid unintended consequences while still protecting our clients. This is why I wish to serve on the South Region Committee. I appreciate you considering me for this valuable role, one which I will approach in a thoughtful and dedicated manner.

#### Optional Links:

Link to personal website, resume or CV:

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Link to YouTube video:

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## Candidate Profile Form—Regional Committee Election

Candidate Name: Sharon Dyer

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Title: Municipal Principal and Assist FinOp

Firm: St Bernard Financial

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### Candidate Biography and Personal Statement

Beginning in the business in 1987, Sharon has worked for independent B/D's, Regional Wire Houses, and Bank B/D's. She started a B/D for a bank in her hometown in 1993 and was active in another small firm for 17 years where she worked her way up to President.

With extensive experience in all aspects of retail firms, she brings a vast amount of knowledge about small firms and their markets.

Sharon, a dog lover, is active in her community in addition to being active in hiking, watersports, and motorbiking.

### Optional Links:

Link to personal website, resume or CV:

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Link to YouTube video:

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